

SECTION VI - Part 4 of 5  
PROJECT MANAGEMENT AND INFORMATION TECHNOLOGY TEMPLATES

---

***A005 - Risk Management Plan Coversheet***

<b>System:</b>	<b>Item Number:</b> A005
<b>Title:</b> Risk Management Plan	
<b>RFP Reference:</b> Section VI Part 3, O.1	
<b>Date of Submission:</b> <ul style="list-style-type: none"><li>• Ten (30) days after the Contractor starts work</li><li>• If approval of deliverable is contingent on incorporation of changes specified by CDCR, an updated submission incorporating the changes shall be provided within 10 days.</li><li>• Updates: The plan shall be updated to track all subsequent changes to management of the project. The plan shall be maintained current to within 22 days of any change (unless otherwise specified and agreed.)</li></ul>	
<b>Distribution:</b> <ul style="list-style-type: none"><li>• CDCR: 2 copies along with a magnetic media containing MS Office format copy</li><li>• V&amp;V: 1 copy along with a magnetic media containing MS Office format copy</li></ul>	
<b>Approval:</b> CDCR written approval is required.	
<b>Comment:</b> Change pages may be delivered upon approval of changes to the requirements until the cumulative total number of change pages reaches 10% of the final submission, upon which the entire document shall be re-issued.	
<b>Preparation Instructions:</b> <p>The Contractor shall provide this document according to the standards defined in the documentation plan.</p> <p>The deliverable(s) shall include at a minimum the contents of the template in and/or following this coversheet, or equivalent as determined by the Project Director or designee. Providing less information than required in the template or any exceptions shall not be allowed unless advance written permission is obtained from the Project Director or designee.</p>	

SECTION VI - Part 4 of 5  
PROJECT MANAGEMENT AND INFORMATION TECHNOLOGY TEMPLATES

---

## ***Risk Management Plan Template***

### **1.0 INTRODUCTION**

#### **1.1 Scope**

The scope section defines the boundaries of the risk management effort. This entails the areas of interest for risk classification, the types of risks to be evaluated, the level of effort to be expended on specific risk ratings, and the type of monitoring and tracking to be performed. This is the section for defining the difference between an issue and a risk and whether or not both are of interest.

#### **1.2 Purpose**

Provide a brief discussion of the need for the risk management on this project. Include a brief description of the project and how this plan inter-relates and integrates with the other management plans.

### **2.0 REFERENCES**

#### **2.1 Compliance Documents**

List all State, departmental, and any other mandated directives, policies, and manuals being used for risk planning.

#### **2.2 Other Documents**

List any supporting documents that are relevant to the risk management.

### **3.0 ORGANIZATION**

#### **3.1 Roles and Responsibilities**

List personnel classification roles, individuals associated with the roles (there may be more than one individual for any given role), and the responsibilities associated with each role. Inclusion of an organizational chart showing the identified personnel would be beneficial.

#### **3.2 Escalation Process**

Define the mechanism and roles involved for escalation. This would include moving issues to risks, resource allocation shortages or conflicts, and risk severity changes.

#### **3.3 De-escalation Process**

Define the mechanism and roles involved for de-escalation. This would include moving risks to issues, removing escalation previously implemented, and risk severity changes.

#### **3.4 Conflict Resolution**

Define the roles and procedures associated with conflict resolution. Include the types of conflict that should be resolvable by each role. Use of the escalation and de-escalation processes should be referred to if necessary.

**SECTION VI - Part 4 of 5**  
**PROJECT MANAGEMENT AND INFORMATION TECHNOLOGY TEMPLATES**

---

**4.0 RISK IDENTIFICATION PROCESS**

**4.1 Risk Identification Areas**

Define the areas for which risks will be determined. These may include: scope, communications, quality, budget, schedule, staff, hardware selected, specific areas of the project, or tools to be used during the project.

**4.2 Risk Identification Classification**

Define the classification levels to be used when a risk has been identified. These could be designations such as low, medium, and high. Each classification level should be defined by how the risk is assessed to be at that level, i.e. the algorithm or methodology to use to determine the classification level. In addition, define the severity or action to be taken for each classification, i.e. mitigate, plan for contingency, or both.

**4.3 Risk Identification Personnel**

Identify the personnel; refer to the Organization section that will be identified in the identification process. The personnel should be associated with a specific risk area defined above.

**5.0 RISK EVALUATION PROCESS**

**5.1 Risk Probability of Occurrence**

Define the algorithm or methodology to be used to define the likelihood the risk will occur. The probability may be numeric or it may be a designation such as high, medium, or low.

**5.2 Risk Impact of Occurrence**

Define the algorithm or methodology to be used to define the significance of the risk actually occurring. The significance should be specified quantitatively. This may be a numeric designation or a classification such as high, medium, or low. Specify the type of impact that will occur if the risk actually occurs as well.

**5.3 Risk Classification Assignment**

Define the algorithm or methodology to be used to obtain the classification of the identified risk using the probability and impact determined above.

**5.4 Risk Evaluation Personnel**

Identify the personnel; refer to the Organization section that will be involved in the evaluation process. The personnel should be associated with a specific risk area defined above.

**6.0 RISK MITIGATION PROCESS**

**6.1 Risk Mitigation Approach**

For each risk identified s requiring mitigation, define the type of mitigation to be performed and the tasks to be used to accomplish the mitigation. The result of this process should be the beginning of a plan for how the risk is to be mitigated.

**SECTION VI - Part 4 of 5**  
**PROJECT MANAGEMENT AND INFORMATION TECHNOLOGY TEMPLATES**

---

**6.2 Risk Mitigation Schedule**

Prepare a schedule for the tasks identified in the approach above.

**6.3 Risk Mitigation Personnel**

Identify the personnel associated with each task including an estimate of the time required for each task.

**7.0 RISK CONTINGENCY PROCESS**

**7.1 Risk Contingency Approach**

For each risk identified as requiring a contingency, define the tasks to be used should the risk occur. The result of this process should be the beginning of a plan for what to do if the risk occurs.

**7.2 Risk Contingency Schedule**

Prepare a schedule for the tasks identified in the approach above.

**7.3 Risk Contingency Personnel**

Identify the personnel associated with each task including an estimate of the time required for each task.

**8.0 RISK TRACKING PROCESS**

**8.1 Risk Tracking Metrics**

Specify the metrics to be captured for each category of risk. Each metric should be specified with the rationalization for the selection, values or value ranges, and the associated interpretation should be included.

**8.2 Risk Reporting**

Define the reporting mechanism to be used for risk status updates and resolution. These reports should cover all the needed information for appraising management of the status of any risk, including mitigation steps taken, contingency plans implemented and/or executed, personnel assigned and any impact to the overall project schedule or quality.

**8.3 Risk Tracking Personnel**

Identify the personnel associated with each task including an estimate of the time required for each task.

**8.4 Risk Tracking Schedule**

Prepare a schedule for the collection of the metrics, reporting, and personnel identified in the above.

**SECTION VI - Part 4 of 5**  
**PROJECT MANAGEMENT AND INFORMATION TECHNOLOGY TEMPLATES**

---

**9.0 ISSUE TRACKING PROCESS**

**9.1 Issue Tracking Metrics**

Specify the metrics to be captured for each category of issues. Each metric should be specified with the rationalization for the selection, values or value ranges, and the associated interpretation should be included.

**9.2 Issue Reporting**

Define the reporting mechanism to be used for issue status updates and resolution. These reports should cover all the needed information for apprising management of the status of any issue, including actions taken and by whom, resolutions made and by whom, personnel assigned, and any impact to the overall project schedule or quality.

**9.3 Issue Tracking Personnel**

Identify the personnel associated with each task including an estimate of the time required for each task.

**9.4 Issue Tracking Schedule**

Prepare a schedule for the collection of the metrics, reporting, and personnel identified in the above.

**APPENDICES**

Appendices are labeled alphabetically. Appendices may be used to contain referenced information or information which might otherwise have rendered the document less readable if placed in the main body. Appendices may also be used for information that needs to be bound separately for security reasons.